

#5

Sheet 1 of 2

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF/36APPLICATION NO.
10/015,739INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANTS
Mark ColaioCONFIRMATION NO.
8873FILING DATE
December 12, 2001GROUP
2123

APR 26 2002

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
KWC	3,581,077	05/25/71	Damewood et al.	235	184	
KWC	4,412,287	10/25/83	Braddock, III	364	408	
KWC	4,588,192	05/13/86	Laborde	273	240	
	4,674,044	06/16/87	Kalmus et al.	364	408	
	5,077,665	12/31/91	Silverman et al.	364	408	
	5,102,143	04/07/92	Winkelman	273	240	
	5,270,922	12/14/93	Higgins	364	408	
	5,297,032	03/22/94	Trojan et al.	364	408	
	5,689,651	11/18/97	Lozman	395	237	
	5,774,880	06/30/98	Ginsberg	705	36	
	5,809,483	09/15/98	Broka et al.	705	37	
	5,857,176	01/05/99	Ginsberg	705	36	
	5,915,209	06/22/99	Lawrence	455	31.2	
	5,934,674	08/10/99	Bukowsky	273	278	
	5,950,176	09/07/99	Keiser et al.	705	37	
	6,029,146	02/22/00	Hawkins et al.	705	35	
KWC	6,322,076	11/27/01	Fikki	273	278	

RECEIVED
APR 30 2002
Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER *Kathleen M. Christina*DATE CONSIDERED *05/20/04*

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF/36APPLICATION NO.
10/015,739INFORMATION DISCLOSURE
STATEMENT BY APPLICANTSAPPLICANTS
Mark ColaioCONFIRMATION NO.
8873FILING DATE
December 12, 2001GROUP
2123

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
<i>kmc</i>	Isaac, M. et al., "Price Controls and the Behavior of Auction Markets: An Experimental Examination," American Economic Review, vol. 71, pp. 448-459 (June 1981).
	Forsythe, R. et al., "Asset Valuation in an Experimental Market," Econometrica, vol. 50, pp. 537-567 (May 1982).
	Plott, C. et al., "Efficiency of Experimental Security Markets with Insider Information: An Application of Rational Expectations Models," Journal of Political Economy, vol. 90, pp. 663-698 (August 1982).
	Plott, C. et al., "Externalities and Corrective Policies in Experimental Markets," Economic Journal, vol. 93, pp. 106-127 (March 1983).
	Plott, C., "Rational Choice in Experimental Markets," Journal of Business, vol. 59, pp. S301-S327 (October 1986).
	Landis, K., "Multi-Talented System Opens Windows for Trader's World," Wall Street Computer Review, pp.86-93 (April 1988).
	Matthew, J., "OTC Success Spurs Specialized Trading Systems," Wall Street Computer Review, pp. 28-38 (September 1989).
	Leinweber, D., "Knowledge-Based systems for Financial Applications," IEEE Expert, vol. 3, pp.18-30 (Fall 1998).
	Nöth, M. et al., "Information Aggregation in Experimental Asset Markets: Traps and Misaligned Beliefs," Social Science Working Paper No. 1060. Pasadena: California Institute of Technology (April 1999).
<i>kmc</i>	Bossaerts, P. et al., "Basic Principles of Asset Pricing Theory: Evidence from Large-scale Experimental Financial Markets," Social Science Working Paper No. 1070. Pasadena: California Institute of Technology (February 2000).

EXAMINER

Kathleen M. Christman

DATE CONSIDERED

05/20/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.